



BT16 Rec'd PCT/PTO JUN 10 2002

PCT#6  
SDC

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the United States Patent Application of:

Applicant: Klaus Braun, et al.

Application No.: 10/031,505

Date Filed: January 15, 2002

Title: CONJUGATE FOR  
MEDIATING CELL-  
SPECIFIC, COMPARTMENT-  
SPECIFIC OR MEMBRANE  
SPECIFIC TRANSPORT OF  
ACTIVE SUBSTANCES

Docket No.: 4121-133

Examiner: Not Yet Assigned

Art Unit: Not Yet Assigned

Confirmation No.: 6804



23448

PATENT &amp; TRADEMARK OFFICE

FIRST CLASS MAIL CERTIFICATE

I hereby certify that I am mailing the attached documents to the Commissioner for Patents on the date specified, in an envelope addressed to the Commissioner for Patents, Washington, DC 20231, and First Class Mailed under the provisions of 37 CFR 1.8.

Katrina Holland

June 5, 2002

Date of Mailing

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

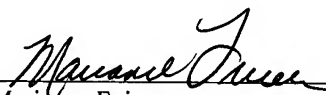
Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. One copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

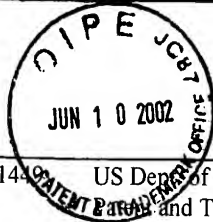
- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ c. Attached is our check no. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. §1.17(p). Please credit or debit Deposit Account No. \_\_\_\_\_ as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Attached is our check no. \_\_\_\_\_ in the amount of \$130.00 in payment of the petition fee under 37 C.F.R. §1.17(i)(1). Please credit or debit Deposit Account No. \_\_\_\_\_ as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).

Respectfully submitted,

  
Marianne Fuierer  
Reg. No. 39,983  
Attorney for Applicants

INTELLECTUAL PROPERTY/  
TECHNOLOGY LAW  
P.O. Box 14329  
Research Triangle Park, NC 27709  
Telephone: (919) 419-9350  
Fax: (919) 419-9354  
Attorney Ref: 4121-133



FORM PTO-1449 US Department of Commerce Patent and Trademark Office  INFORMATION DISCLOSURE STATEMENT  (use several sheets if necessary)		ATTORNEY DOCKET NO.		SERIAL NO.			
		4121-133		10/031,505			
		APPLICANT					
		Klaus Braun, et al.					
		FILING DATE		GROUP			
		January 15, 2002		Not Yet Assigned			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	A	2 786 397	06/02/2000	France	38	16	X
	B	2 787 793	06/30/2000	France	5	87	X
	C	WO 97/12912	04/10/1997	WIPO	14	47	X
	D	WO 00/01417	01/13/2000	WIPO	47	48	X
	E	WO 00/58488	10/05/2000	WIPO	15	87	X
OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)							
	F	Pietersz, Geoffrey A., Li, Wenjun, Apostolopoulos, Vasso 2001. A 16-mer peptide (RQIKIWFQNRRMKWKK) from antennapedia preferentially targets the Class I pathway. Vaccine 19:1397-1405.					
	G	Mi, Zhibao, Mai, Jeffrey, Lu, Xiaoli, & Robbins, Paul D. 2000. Characterization of a Class of Cationic Peptides Able to Facilitate Efficient Protein Transduction <i>in Vitro</i> and <i>in Vivo</i> . Molecular Therapy, Vol. 2, No. 4: 339-347.					
	H	Derossi, Daniele, Chassaing, Gerard & Prochiantz, Alain 1998. Trojan peptides: the penetratin system for intracellular delivery. Trends in CELL BIOLOGY Vol. 8: 84-86.					
	I	Rousselle, Christophe, Clair, Philippe, Lefauconnier, Jeanne-Marie, Kaczorek, Michel, Scherrmann, Jean-Michel & Tamsamani, Jamal 2000. New Advances in the Transport of Doxorubicin through the Blood-Brain Barrier by a Peptide Vector-Mediated Strategy. MOLECULAR PHARMACOLOGY, 57:679-686.					
	J	Pooga, Margus, Soomets, Ursel, Hällbrink, Mattias, Valkna, Andres, Saar, Külliki, Rezaei, Khadijeh, Kahl, Ulrika, Hao, Jing-Xia, Xu, Xiao-Jun, Wiensfeld-Hallin, Zsuzsanna, Hökfelt, Tomas, Bartfai, Tamas, Langel, Ülo 1998. Cell penetrating PNA constructs regulate galanin receptor levels and modify pain transmission <i>in vivo</i> . NATURE BIOTECHNOLOGY Vol. 16: 857-861.					
	K	Akhtar, Saghir, Basu, Soumitra, Wickstrom, Eric & Juliano, R.L. 1991. Interactions of antisense DNA oligonucleotide analogs with phospholipid membranes (liposomes). Nucleic Acids Research, Vol. 19, No. 20: 5551-5559.					
	L	Bennett, C.F., Mirejovsky, D., Crooke, R.M., Tsai, Y.J., Felgner, J., Sridhar, C.N., Wheeler, C.J. & Felgner, P.L. 1997. Structural Requirements for Cationic Lipid Mediated Phosphorothioate Oligonucleotides Delivery to Cells in Culture. Journal of Drug Targeting, Vol. 5, No. 3: 149-162.					
Continue on Page 2							
EXAMINER					DATE CONSIDERED		
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.							



FORM PTO-1449		US Department of Commerce Patent and Trademark Office		ATTORNEY DOCKET NO. 4121-133		SERIAL NO. 10/031,505	
INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)				APPLICANT Klaus Braun, et al.			
				FILING DATE January 15, 2002		GROUP Not Yet Assigned	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
<b>OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)</b>							
	M	Cosset, F-L, Russell, SJ 1996. Targeting retrovirus entry. Gene Therapy 3:946-956.					
	N	Bilbao, Guadalupe, Feng, Meizhen, Rancourt, Claudine, Jackson, Jr., William H., Curiel, David T. 1997. The FASEB Journal Vol. 11: 624-634.					
	O	Gao, X & Huang, L. 1995. Gene Therapy 2:710-722					
EXAMINER		DATE CONSIDERED					
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.							